

SECTION 8.20 OVERVIEW AND INSTRUCTIONS

Last Update: 9/12

State of Iowa Individual Performance Plan and Evaluation Overview and Instructions

Overview

The Individual Performance Plan is completed by the supervisor and discussed with the employee at the beginning of the evaluation period. The Performance Plan includes all of Part 1 and the Individual Performance Strategies/Goals, Action Steps, Performance Criteria, and Timetables in Part 2. The current Position Description Questionnaire (PDQ) may be attached or the tasks listed on the PDQ may be cut and pasted directly into this form. The employee, supervisor, and manager sign the Plan at the beginning of the evaluation period. The Individual Performance Plans for some positions may not change much from year to year; nevertheless, review of the Plan on at least an annual basis is a good business practice, as it refreshes both the supervisor's and the employee's understanding of the job expectations.

The Performance Evaluation is completed by the supervisor near the end of the evaluation period or after the evaluation period has ended. It is recommended that the Evaluation be completed within 30 days of the end of the evaluation period to maintain timeliness. The Evaluation includes the Results and Rating for each Individual Performance Strategy/Goal in Part 2 and Part 3.

Part 1, Employee, Position and Agency Information is for information and alignment purposes. Key sections include: State Vision, Enterprise Goal(s), Agency Strategic Plan Goal(s), Performance Plan Core Function(s), Agency Mission Statement, and Job Contributes to the Mission By. This information describes how the individual position's functions, duties and responsibilities, and goals align with the overall purpose and strategic direction of the unit, the department and the enterprise.

Part 2, Alignment with the Agency Performance Plan, Strategies for this Rating Period focuses on specific strategies/goals assigned to the individual for the evaluation period. It is suggested that only 3-5 strategies/goals be set. This form includes four, the fourth intended as a "catch all," if desired, to ensure all duties and responsibilities assigned to the position have been carried out in accordance with predetermined standards. To add Individual Performance Strategies/Goals, click the "Add Goal" button on the toolbar at the top of the form. Once inserted, however, the additional strategies/goals cannot easily be removed.

Part 3, Achievements, Strengths and Overall Rating – This segment of the Evaluation emphasizes goal achievement, future goals, and employee development. The supervisor should complete the left column and bottom. The right column is an optional section which the employee may complete.

PART 1 - EMPLOYEE, POSITION AND AGENCY INFORMATION

The [Individual Performance Plan and Evaluation form](#) is a template found on the Department of Administrative Services - Human Resource Enterprise website. The form works best when downloaded using Microsoft Internet Explorer. It may not retain the appropriate coding if downloaded using Netscape or other browsers. The form uses the protection feature in Word to prevent users from inadvertently changing the static contents and to facilitate data entry as a Word form. Because this file contains automation, it will only function in MS Word 97 or higher versions. **DO NOT ATTEMPT TO COMPLETE THE FORM ONLINE. IT MUST BE DOWNLOADED TO YOUR HARD DRIVE.** To function properly as a template, it should be saved to the user's MS Word Template folder. For Office 97 users, this location is commonly: "C:\ProgramFiles\MicrosoftOffice\Templates." To prepare a new document based on the template, click File/New/FileNameYouGavelt in Word. Parts of this section may be completed by the department's central administrative unit for consistency.

Use the tab key to move through the document.

Name: Enter employee's full name, first, middle initial, and last.

Department: Enter department name.

Division/Bureau: Enter division and bureau names.

Class Title: Enter official title from the DAS-HRE Classification Plan.

Work Unit: Enter work unit name, if applicable.

Position Number: Enter 18-digit position number, using hyphens.

Work Location: Enter location most frequently used by your department. This may be a building name, a portion of a large building, a street address, or other.

Period Covered: Enter MM/DD/YY to MM/DD/YY. The year will automatically convert to four digits. **It is recommended that the date signed at the bottom of the Plan should be within one month of the starting date for the period covered.**

Purpose: Check the appropriate box using the enter key or space bar. "Other" may include additional short-term evaluation periods or special purpose evaluations.

Time in Current Position: This data element is optional. If completed, it can be as date of entry, DOE MM/DD/YY, or the number of years, i.e., 4 years.

Enterprise Goal(s): The State of Iowa Enterprise Strategic Plan, dated August 28, 2007, identifies the strategic goals for state government as a whole. The plan and the accompanying enterprise team strategies can be found at <http://www.resultsiowa.org/> under Leadership Agenda . Your department's Accountable Government Act coordinator can assist in identifying enterprise goals that align with individual performance plans. If the employee's work contributes directly or indirectly to any of the enterprise goals, please list them in this section of the Individual Performance Plan. There may be departments, units or individual positions that do not relate directly to an enterprise goal. In these cases, place "N/A" in this field.

Agency Strategic Plan Goal(s): Each department has an agency strategic plan that aligns agency goals and strategies with customer needs to target resources more effectively. These can be found at http://www.resultsiowa.org/departments_performance.html. If the employee's work contributes directly or indirectly to any of the agency strategic plan goals, please list them in this section of the Individual Performance Plan.

Performance Plan Core Function(s): Each department has an agency performance plan that facilitates informed decision making, helps to assess progress toward the achievement of goals, identifies improvement opportunities, and tells Iowans and other stakeholders what was accomplished. Each agency's performance plan can be found at the site listed above for Agency Strategic Plan Goal(s).

As part of the performance planning process, agencies have identified agency core function(s) from the standardized list of core functions for the State of Iowa. Core functions are also included in the agency strategic plan. Please list the core function(s) that the employee's work contributes to in this section of the individual performance plan.

Agency Mission Statement: Enter your department's mission statement. For large departments, the division or unit mission statement may be more appropriate. The purpose is to tie the duties performed by the position and the results expected to the mission of the broader organization. If a unit smaller than the department is used, this should be specified.

Job Contributes to the Mission by: This section is very important in helping the employee understand how his or her job fits into the overall purpose of the department. Where applicable, this may include reference to an Enterprise Goal, as well as a specific goal/objective in your department's strategic plan.

Work Performed/Core Responsibilities (activities, services provided and/or products produced by the position): It is suggested that you cut and paste the duties and responsibilities of the position listed on the employee's Position Description Questionnaire (PDQ) here, Description of Work, or that you attach a copy of the PDQ if you are completing the Plan and Evaluation on paper. This section is included to help the employee and the supervisor focus specifically on the job being reviewed.

The Individual Performance Plan for this period has been discussed by the employee and the supervisor:

This section includes the sign-offs and dates of sign-off for the employee, the supervisor and the next higher level of management. This section should be signed or so noted by the supervisor the date it was discussed with the employee at the beginning of each rating period, even if the job changes little from one rating period to the next. The reason for this is to ensure that, on an ongoing basis, the employee understands his/her expectations and that the employee and supervisor continue to discuss those expectations.

PART 2 - ALIGNMENT WITH THE AGENCY PERFORMANCE PLAN: Strategies for this Rating Period

PERFORMANCE PLAN:

Individual Performance Strategy/Goal: In this section, list the 3–5 key strategies/goals the individual is to focus on during the evaluation period. Each strategy should in some way link to the agency's annual performance plan or agency mission statement. For more information on how to develop individual performance strategies, see "[The Individual Performance Plan](#)" on the Human Resources Enterprise website.

Action Steps: The strategy/goal tells the employee "what" he or she will be rated on for the evaluation period. Action steps provide more specific direction as to how the supervisor sees the strategy/goal being achieved and help the employee plan what needs to be accomplished. Like the rest of the form, this section is expandable so that as many steps can be listed as are appropriate to the strategy envisioned. It is not recommended, though, that the action steps listed comprise a comprehensive work plan but rather, simply the milestones the supervisor feels are most critical to achieving the strategy/goal. For more information on writing action steps, see "The Individual Performance Plan" on the website noted above.

Performance Criteria: Performance criteria are the standards, measures, targets, and other criteria the supervisor will use to determine if the employee met, exceeded, or did not meet the expectations of the stated strategy and action steps. The definitions of "measure" and "targets" are the same as those used for the agency performance plan. The types of criteria used in this section have been left deliberately broad to provide the kind of flexibility needed for the wide spectrum of jobs in state government. However, the supervisor should strive to be as specific as possible as far as critical success factors are concerned. See the individual performance plan examples and "The Individual Performance Plan" on the website noted above for more specifics.

Timetable: Generally, the timetable is either a completion date or milestone date for an individual action step, although other time references may be used, particularly when they are related to other actions the employee does not initiate, such as: (completes action step) within X hours/days of receipt, (completes action step) according to time frames specified by law, or completion date to be set upon completion of work plan. Other examples of timetables include: ongoing, monthly, at least X times monthly, as required and others, as applicable.

Timetables should be treated as absolutes, not desirables. That is the only way the supervisor can objectively determine if the employee accomplished the strategy/goal as intended. Timetables can be changed throughout the evaluation period if the circumstances warrant, but the changes should be noted on the Individual Performance Plan and discussed with the employee at the time they are made.

EVALUATION: This part is completed by the supervisor at or shortly after the end of the evaluation period. It is suggested it be completed no later than 30 days following the end of the evaluation period.

Results: Describe the results achieved by the individual during the evaluation period according to the action steps, performance criteria, and timetables set in the Individual Performance Plan. Each box in this section is expandable, so there is room for whatever needs to be said to adequately cover the results. Something should be written about the "Results" of each individual performance strategy/goal. Results described need to be clear, objective, and succinct. For a more in-depth discussion of this part of the process, see "The Evaluation" at the website noted above.

Rating: Each individual performance strategy/goal is rated. The rating levels are:

Meets Expectations – Performance consistently fulfills the job requirements and expectations (strategies/goals, action steps, performance criteria, and timetables). The employee is doing the job expected for employees in this classification.

Exceeds Expectations – The employee consistently performs well beyond expectations (strategies/goals, action steps, performance criteria, and timetables) and does outstanding work.

Does Not Meet Expectations – Performance does not consistently meet expectations (strategies/goals, action steps, performance criteria, and timetables).

“Exceeds Expectations” has been included to emphasize the State’s expectation of continuous improvement and high quality performance. A rating of “Exceeds Expectations” requires specific examples under “Results” of how the employee frequently went above and beyond expectations to accomplish the strategy/goal, action steps, performance criteria, and timetables. To place the X in the rating box, advance the cursor to the rating to be given and hit either the enter key or the space bar.

When a rating of “Does Not Meet Expectations” is given, it should not be the employee’s first notice that his or her performance needs to improve in this individual performance strategy/goal. At the very least, the supervisor should have met with the employee soon after the performance problem became evident. The supervisor should have provided the employee with concrete examples of how the performance was lacking as well as provided guidance and examples of how the performance should improve.

PART 3 - ACHIEVEMENTS, STRENGTHS AND OVERALL RATING

This section is also completed at or shortly after the end of the evaluation period. The supervisor should complete the “Supervisor’s Comments” on the left side. The “Additional Comments” box is optional. The employee may choose whether or not to complete any of the “Employee Comments” sections on the right side. Although employees are strongly encouraged to sign the Evaluation, it is not mandatory. In such cases, the supervisor includes a note on the Evaluation indicating that the employee refused to sign and dates and initials that. This section is in expandable format in case additional space is needed.

SUPERVISOR’S COMMENTS: This section should be completed by the supervisor.

Achievements and Strengths: Though Part 2 is the main area of performance rated, frequently, the supervisor will have additional comments to make about the employee’s performance. This segment emphasizes the positives, both accomplishments of the individual as well as their strong points, on which future development may be based.

Additional comments: This space is provided for any other information, stated in objective terms, the supervisor wants to include that was not addressed elsewhere in the evaluation.

Development Plans: This segment can be used more than one way. In cases where performance meets or exceeds expectations, this section could describe areas for career growth and enrichment. In cases where performance improvement is needed, it can spell out how that should be accomplished. Generally, one or two competencies may need strengthening in some way. Sometimes, other types of action steps may play into the development plan. The Development Plan may be confined to this segment of the performance evaluation, or this may simply outline the major points to be covered and discussed more thoroughly in a separate, more comprehensive development plan. A development plan model, “The Individual Development Plan,” is available on the Performance Evaluation website noted above.

EMPLOYEE’S COMMENTS: This section is optional, but the employee is encouraged to complete it.

My noteworthy achievements: In this section, the employee lists accomplishments during the period being rated which she or he would like recognized. If this section does not reflect what the supervisor listed in the rest of the evaluation, it is important that this difference in perspectives be addressed in the performance meeting between the supervisor and the employee.

Additional comments: This space is provided for any other information the employee wants to include that was not addressed elsewhere in the evaluation.

Support I need to improve my performance: In this section, the employee reflects on his or her past performance as a basis of what the department could do to help improve it. This may also refer to the proposed Development Plan.

OVERALL RATING: The supervisor will mark “Exceeds Expectations,” “Meets Expectations,” or “Does Not Meet Expectations” here. The overall rating should reflect the majority of ratings for the individual performance strategies/goals or the rating(s) of the most critical strategies/goals. Depending on the unique elements of the job, one or more individual performance strategies (goals) may be “weighted” heavier than the others. If this is the case, these weightings should be shared with the employee at the beginning of the performance period when the performance plan is discussed. Ultimately, the supervisor must use her or his best judgment to determine the overall rating and be prepared to discuss this reasoning with the employee.

EVALUATION SIGN-OFFS: Signatures and dates signed by the supervisor and next higher level of management must be included here before the evaluation becomes final. (The employee is strongly encouraged to sign, but the employee’s signature is not mandatory.) As a general rule, the evaluation should be finalized within 30 days after the end of the evaluation period. The date the supervisor signs the evaluation is referred to as the Evaluation Date. This is the date that DAS-HRE tracks to determine if the evaluation was completed within the fiscal year in question.

RECOMMENDED ACTIONS: This section provides a place for the supervisor to indicate follow-up actions for the personnel assistant. For non-contract positions only, a salary increase may be indicated by checking the Yes or No box. For contract employees, leave both boxes blank. If this is a review done at the end of the probationary period and the employee is to become permanent, check the Permanent Status box (this applies to both non-contract and contract-covered employees). “Other” may include the amount of the pay increase or other types of follow-up actions the supervisor wants to document and bring to the attention of the personnel assistant.

NEXT STEPS

Once the supervisor has completed the evaluation, the next higher level of management reviews it and may add comments. Once both the supervisor and the next higher level of management agree on the content, they both sign and date the Evaluation. The supervisor sets up a meeting with the employee to go over the supervisor’s comments. The next higher level of management may also elect to attend this meeting. Generally, the Evaluation is given to the employee to review prior to the meeting so she or he has a few days to reflect on what has been said. Though this form is in electronic format, the supervisor should provide it to the employee as hard copy.

At the time of the performance meeting, the supervisor may have already prepared the Individual Performance Plan for the next evaluation period for the employee to review. This tends to be the case if the job expectations do not change much from year to year. Another option is to wait until the meeting has taken place before developing the next Individual Performance Plan, so areas discussed in the meeting can be incorporated.

The supervisor and employee do not have to be in agreement about all areas of the Evaluation. The employee signs to the effect that “the Performance Plan for this period has been discussed by the employee and supervisor” (this is not mandatory). Areas of disagreement may be included in the “Employee’s Comments” section of Part 3. Once the employee has signed and dated the document (or the supervisor has indicated the employee refused to sign), the supervisor forwards a hard copy to the personnel assistant to retain in the department’s official personnel files. The employee is given a signed and dated hard copy of the final document.

Once the Evaluation has been completed, it should not be filed away and forgotten. Instead, it should serve as an ongoing means of managing performance and basis for future development. Employee strengths and areas needing improvement, once identified through the Results, Ratings, and other performance-related comments in the Evaluation should serve as the foundation of the next Individual Performance Plan and the individual development plan.

DAS-HRE tracks performance evaluation completion to help ensure that all employees receive an annual performance evaluation. Tracking is based on the “Evaluation Date” data field, which is the date the supervisor signs the Evaluation.